

ATTACHMENT K

Transfer of FTA Funded Contract Records SOP

Title of Procedure:	Transfer of FTA Funded Contract Records	Procedure Number		Revision Date	
		PR-AD-004			
Division	Support Services – Document Management	Revision Level		Original Issue Date	
		DRAFT R7		05/02/2011	

Reference Documents:	MDT Records Management TAPP	A.O. 7-24 Records Management Program
	MDT Procurement, Contract Administration and Monitoring Process Map	FTA Circular and Master Agreement
	MDT Records Disposition SOP	FTA Third Party Contract Checklist

References to other documents, standards or local, state or federal mandates that amplify or reinforce requirements stated are listed here.

1.0 Purpose

To address the requirements for MDT to maintain records until the close-out of grants.

2.0 Scope

This SOP applies to the records on all FTA funded contracts negotiated for Miami-Dade Transit (MDT) by the Department of Procurement Management (DPM). DPM retains all FTA funded contracts until five years after the contract expiration date, at which point the records are prepared for transfer to MDT.

3.0 Responsibility

Individual	Responsibilities
Department of Procurement Management (DPM)	Retain all FTA funded contracts for five years after the contract expiration date, at which point the records will be prepared for transfer to MDT. Reviews files and acknowledges compliance. Release files to MDT.
Federal Transit Agency (FTA)	Provides and manages a program of financial assistance for mass transportation on a federal level to include the oversight and audit review of contract records for grants awarded.
Miami-Dade Transit (MDT) (Resource Allocation, Materials Management, and Document Management Divisions)	Shall identify all FTA funded contracts prior to the solicitation's advertisement. Ensure that all pre-award requirements are forwarded to DPM. Review files and acknowledge compliance. Maintain records in accordance with grant requirements.
Records Center	Shall follow the procedures as outlined in Administrative Order 7-24 on Records Management

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4.0 Procedure

DPM

- Complete Records Transfer List.
- Contact MDT Document Management.
- Transfer contract records to MDT.

DPM & MDT shall jointly

- Verify content of contract files against contract record checklist.
- Acknowledge and sign form transferring custodianship of records.

MDT

- Accept contract file content against contract record checklist.
- Sign record transfer list form.
- Coordinate pick up and delivery to MDC Records Center.
- Will notify Records Center that records retention requires revision to destruction date submitted (3 years after grant close-out)

MDC Records Center

- Receive and review transfer list.
- Store records until they meet retention period.
- Request disposition permission from MDT.
- Destroy records when approved by MDT for disposition.

5.0 Key Performance Metrics

MDT shall identify all FTA funded contracts prior to the solicitation's advertisement.

6.0 Special Tools and Equipment (If applicable)

Standard storage boxes obtained from GSA – Materials Management

7.0 Safety Requirements in the Workplace (If applicable)

Ability to lift boxes weighing up to 25 pounds

8.0 Distribution and Implementation

All MDT Divisions that apply for federal grants and funding shall comply with this procedure. Document Management shall be responsible for ensuring this procedure is reviewed annually and changes submitted to applicable divisions and to DPM.

MDC Department of Procurement Management
FTA CONTRACT CHECKLIST

CONTRACT NO.: _____ AWARD DATE _____

CONTRACT NAME: _____ EXPIRATION DATE _____

	Document Generated by:	Received (Y/N)
Independent Cost Estimate from Miami-Dade Transit (MDT) prepared and signed before advertising of the solicitation.	MDT	
Disadvantage Business Enterprise memorandum from the Office of Civil Rights	MDT	
Market Research by Department of Procurement Management	DPM	
Solicitation Document and Addendums: -FTA clauses (Appendix D from FTA C 4220.1F) in the solicitation -Local ordinances will not apply to FTA funded procurements: Local Preference, Small Business Enterprise, User Access Program fee. Inspector General clause will apply but the fee will not apply. -Contract term (including option years) not to exceed 5 years for: <ul style="list-style-type: none"> i. Rolling stock ii. Procurement of parts for rolling stock 	DPM	
E-procurement Announcement and Reports	DPM	
Proposals received		
Price/Cost Analysis	DPM	
Price: Fair and Reasonable Determination, if applicable	MDT	
Buy America compliance documentation: Signed certificate from the vendor, review by MDT Auditor, Pre/Post Award certificate, for rolling stock.	MDT	
Responsibility Review	DPM	

MDC Department of Procurement Management
FTA CONTRACT CHECKLIST

CONTRACT NO.: _____ AWARD DATE _____

CONTRACT NAME: _____ EXPIRATION DATE _____

	Document Generated by:	Received (Y/N)
Responsiveness Determination		
Award Recommendation	DPM	
Protest Notification to FTA (if applicable)	DPM	
Bonds and Certificates of Insurance (If Applicable)		
Notice to Proceed (If Applicable)		
Blanket Purchase Order/Purchase Order (one-time)	DPM	
Award Sheet	DPM	
Change Orders/Modification	DPM	
Notification to FTA in case of disputes/breaches/default/litigation (if applicable)	DPM/MDT	

Acknowledgement:

Department of Procurement Management
Representative (Print Name)

Date

Signature

Miami-Dade Transit Representative
(Print Name)

Date

Signature

MDC Department of Procurement Management
MDC Transit Department
Transfer of Custodianship - FTA Funded Contract Records

CONTRACT NO.: _____

CONTRACT NAME: _____

GRANT NUMBER: _____

GRANT NAME: _____

CONTRACT AWARD DATE: _____

CONTRACT EXPIRATION DATE: _____

Number of Boxes:

Acknowledgement:

Department of Procurement Management
Representative (Print Name)

Date

Signature

Miami-Dade Transit Representative
(Print Name)

Date

Signature

